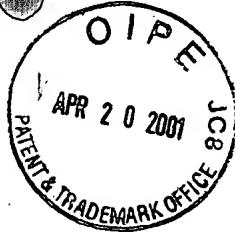


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
HOCHENBERGER et al.
Serial No.: 09/603,390

Filed: 6/23/00

For: CONVERSATIONAL DEALING IN AN ANONYMOUS TRADING SYSTEM



Our Ref.: P/3879-5

Date: April 20, 2001

Group Art Unit: 2624 RECEIVED

Examiner: WHISLEY, MARY APR 26 2001

Technology Center 2100

RWB 9-13-01

Assistant Commissioner of Patents
Washington, D.C. 20231

SUBMISSION

Sir:

- | | |
|-------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> | Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner. |
| <input checked="" type="checkbox"/> | The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference. |
| <input type="checkbox"/> | The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached. |
| <input type="checkbox"/> | This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below. |
| <input checked="" type="checkbox"/> | I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)). |
| <input type="checkbox"/> | I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than thirty (30) days prior to the filing of this Submission (37 C.F.R. §1.97(e)). |
| <input type="checkbox"/> | This submission is being made after the issuance of the first Office Action and without a certification. The fee of \$180.00 under 37 C.F.R. §1.17(p) is attached. |
| <input type="checkbox"/> | This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of \$180.00 under 37 C.F.R. §1.17(l). A certification under 37 C.F.R. §1.97(e) is set forth above. |

EXPRESS MAIL CERTIFICATE

Respectfully submitted,

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613108912US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on April 20, 2001:

Dorothy Jenkins

Name of Person Mailing Correspondence

Signature
April 20, 2001

Date of Signature

Steven I. Weisburd
Registration No.: 27,409
OSTROLENK, FABER, GERB & SOFFEN, LLP
1180 Avenue of the Americas
New York, New York 10036-8403
Telephone: (212) 382-0700

SIW:sk

00505826.1